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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/699,124	10/31/2003	William M. Shapiro	07844-621001	4993
21876	7590	11/19/2008		
FISH & RICHARDSON P.C. P.O. Box 1022 MINNEAPOLIS, MN 55440-1022			EXAMINER CERVETTE, DAVID GARCIA	
			ART UNIT 2436	PAPER NUMBER
			NOTIFICATION DATE 11/19/2008	DELIVERY MODE ELECTRONIC

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

PATDOCTC@fr.com

# Office Action Summary

**Application No.**

10/699,124

**Applicant(s)**

SHAPIRO ET AL

**Examiner**

David Garcia Cervetti

**Art Unit**

2436

**Period for Reply** -- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 13 August 2008.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-19, 21-41 and 43-57 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-19, 21-41 and 43-57 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 31 October 2003 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date 8/13/08
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_

**DETAILED ACTION**

1. Applicant's arguments filed August 13, 2008, have been fully considered.
2. Claims 1-19, 21-41, and 43-57 are pending and have been examined.

***Response to Amendment***

3. Applicant's arguments with respect to the prior art have been considered but are moot in view of the new ground(s) of rejection.
4. The objection to claims 35-38 and 40 is withdrawn.
5. The rejection of claims 45-57 under 35 USC 101 is withdrawn.

***Claim Rejections - 35 USC § 102***

6. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.
7. **Claims 1, 4-19, 21-23, 26-41, and 43-57 are rejected under 35 U.S.C. 102(e) as being anticipated by Garcia (US Patent 7,380,120).**

**Regarding claims 1 and 23,** Garcia teaches

receiving a request from a client to take an action with respect to a first electronic document (col.32, lines 20-67, offline access enablement for particular files); and

synchronizing offline access information with the client, in response to the request, to pre-authorize the client, to allow actions by a user as a member of a group of users, by sending to the client an update to offline access information retained at the client, the update comprising a first key associated with the group, the first key being useable at the client to access a second electronic document while offline by decrypting

a second key in the second electronic document (col.33, lines 1-55, update stored rules).

**Regarding claims 12 and 34,** Garcia teaches

synchronizing offline access information with a document control server, when online, to pre-authorize offline access to an electronic document, the synchronizing comprising receiving an update to offline access information retained locally, the update comprising a first key associated with a group of users of the document control server (col.33, lines 1-55, update stored rules); and

allowing access to the electronic document, when offline, by performing operations comprising using the first key to decrypt a second key in the electronic document and governing actions with respect to the electronic document based on document-permissions information associated with the electronic document (col.33, lines 1-67, user access according to updated rules while offline).

**Regarding claims 19 and 41,** Garcia teaches

encrypting an electronic document (fig.2B); and

incorporating into the encrypted electronic document an address of a document control server, document-permissions information, and an encryption key useable in decrypting the encrypted electronic document, the encryption key being encrypted with a key generated by, and associated with a group of users of, the document control server; wherein the encryption key comprises a session key generated by the document control server, encrypting the electronic document comprises encrypting the electronic document using a document key, and incorporating comprises incorporating into the

encrypted electronic document a document security payload comprising the document key and the document-permissions information, the document security payload being encrypted using the session key (fig.2C.3, col.15, lines 30-67, col.28, lines 35-60, authenticate user on access of local document over at server).

**Regarding claims 45 and 56,** Garcia teaches

a document control server that synchronizes offline access information with a client in response to a client request, to pre-authorize offline access to an electronic document by sending an update to the offline access information retained at the client, the update comprising a first key associated with a group, the first key being useable at the client to access the electronic document by decrypting a second key in the electronic document (col.33, lines 1-55, update stored rules); and

the client that stores the first key in a memory and allows access to the electronic document, when offline, by a user as a member of the group, using the first key to decrypt the second key in the electronic document and governing actions with respect to the electronic document based on document-permissions information associated with the electronic document (col.33, lines 1-67, user access according to updated rules while offline).

**Regarding claims 4 and 26,** Garcia teaches wherein the client allows actions with respect to the second electronic document based on document-permissions information residing in the second electronic document (col.13, lines 1-55).

**Regarding claims 5 and 27,** Garcia teaches wherein the offline access information update further comprises document-permissions information associated with

multiple documents, including the second electronic document, and the client allows actions with respect to the second electronic document based on the document-permissions information (col.33, lines 1-67).

**Regarding claims 6 and 28**, Garcia teaches wherein synchronizing offline access information with the client comprises synchronizing silently in a background process without the user being aware of the update (col.33, lines 1-67).

**Regarding claims 7 and 29**, Garcia teaches wherein the request requires authentication, the method further comprising verifying the user at the client as an authenticated user (col.32, lines 20-67).

**Regarding claims 8 and 30**, Garcia teaches wherein the offline access information update further comprises: at least one user-specific key; at least one group-specific key, including the first key; and at least one set of document-permissions information associated with multiple documents (col.33, lines 1-67).

**Regarding claims 9 and 31**, Garcia teaches receiving an offline audit log from the client (col.31, lines 30-45).

**Regarding claims 10 and 32**, Garcia teaches wherein the at least one set of document-permissions information comprises one or more policies associated with the first document, and the offline access information update further comprises a document revocation list (col.33, lines 1-67).

**Regarding claims 11 and 33**, Garcia teaches wherein the offline access information update further comprises at least one set of document-permissions

information, associated with a specific document, selected based on synchronization prioritization information (col.33, lines 1-67).

**Regarding claims 13 and 35**, Garcia teaches wherein governing actions with respect to the electronic document comprises obtaining the document-permissions information from the electronic document (col.13, lines 1-67).

**Regarding claims 14 and 36**, Garcia teaches wherein governing actions with respect to the electronic document comprises: identifying a document policy reference in the electronic document; and obtaining locally retained document-permissions information based on the document policy reference (col.13, lines 1-67).

**Regarding claims 15 and 37**, Garcia teaches wherein the offline access information update comprises at least one user-specific key, at least one group-specific key, including the first key, at least one set of document-permissions information associated with multiple documents, and a document revocation list (col.13, lines 1-67).

**Regarding claims 16 and 38**, Garcia teaches preventing access to the document, when offline, if a difference between a current time and a receipt time of the offline access information exceeds a server-synchronization-frequency parameter (col.33, lines 1-67).

**Regarding claims 17 and 39**, Garcia teaches wherein the server-synchronization- frequency parameter is specific to the document (col.33, lines 1-67).

**Regarding claims 18 and 40**, Garcia teaches maintaining an offline audit log; and uploading the offline audit log when online (col.31, lines 30-45).

**Regarding claims 21 and 43**, Garcia teaches wherein the document security payload further comprises a document identifier assigned by the document control server, and incorporating further comprises incorporating into the encrypted electronic document a copy of the session key encrypted using a public key associated with the document control server (col.15, lines 1-67).

**Regarding claims 22 and 44**, Garcia teaches wherein the document-permissions information specifies access permissions at a level of granularity smaller than the electronic document (col.13, lines 1-67).

**Regarding claim 46**, Garcia teaches wherein the electronic document comprises the document-permissions information (col.33, lines 1-67).

**Regarding claim 47**, Garcia teaches wherein the second key comprises a session key generated by the document control server, and the electronic document further comprises a document security payload comprising a document key and the document-permissions information, the document security payload being encrypted using the session key (col.33, lines 1-67).

**Regarding claim 48**, Garcia teaches wherein the offline access information update further comprises: at least one user-specific key; at least one group-specific key, including the first key; and at least one set of document-permissions information associated with multiple documents (col.33, lines 1-67).

**Regarding claim 49**, Garcia teaches wherein the client comprises an agent that periodically contacts the document control server to synchronize the offline access information (col.33, lines 1-67).



**Regarding claim 50**, Garcia teaches wherein the document control server comprises: a server core with configuration and logging components; an internal services component that provides functionality across dynamically loaded methods; and dynamically loaded external service providers, including one or more access control service providers (col.32, lines 1-67).

**Regarding claim 51**, Garcia teaches a business logic tier comprising a cluster of document control servers, including the document control server; an application tier including the client comprising a viewer client, a securing client, and an administration client; and a load balancer that routes client requests to the document control servers (col.32, lines 1-67).

**Regarding claim 52**, Garcia teaches wherein the client request comprises a request from the client to take an action with respect to a second document, and the document control server synchronizes offline access information with the client silently in a background process without the user being aware of the update (col.33, lines 1-67).

**Regarding claim 53**, Garcia teaches wherein the document control server comprises a permissions-broker server including a translation component, the second document comprises a document secured previously by the permissions-broker server, and the translation component being operable to translate first document-permissions information in a first permissions-definition format into second document-permissions information in a second permissions-definition format in response to the request being received from the client (col.32, lines 1-67).

**Regarding claim 54**, Garcia teaches wherein the server comprises a permissions- broker server operable to identify information associated with the second document in response to the request, the associated information being retained at the server and indicating a third electronic document different from and associated with the second document, the server being operable to relate information concerning the third electronic document to the client to facilitate the action to be taken (col.33, lines 1-67).

**Regarding claim 55**, Garcia teaches wherein the server comprises a permissions- broker server operable to obtain and send, in response to the request, a software program comprising instructions operable to cause one or more data processing apparatus to perform operations effecting an authentication procedure, and the client uses the authentication program to identify a current user and control the action with respect to the second document based on the current user and document-permissions information associated with the second document (col.32, lines 1-67).

**Regarding claim 57**, Garcia teaches server means for dynamically obtaining and sending authentication processes in response to client requests to take actions with respect to electronic documents; and client means for interfacing with a received authentication process to identify a current user and for controlling actions with respect to electronic documents based on the current user and document-permissions information (col.31, lines 1-67).

***Claim Rejections - 35 USC § 103***

8. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

**9. Claims 2-3 and 24-25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Garcia.**

**Regarding claim 2 and 24**, Garcia does not expressly disclose wherein synchronizing offline access information with the client comprises comparing a time of last recorded client- synchronization with a time of last change in user-group information for the user. However, Examiner takes Official Notice that the USE of comparing times to determine whether to update or not was conventional and well known. Therefore, it would have been obvious to one having ordinary skill in the art at the time the invention was made to compare times of last changed when synchronizing content since Examiner takes Official Notice that it was conventional and well known.

**Regarding claims 3 and 25**, Garcia does not expressly disclose wherein synchronizing offline access information with the client comprises: receiving user-group information for the user from the client; and comparing current user-group information for the user with the received user-group information for the user from the client. However, Examiner takes Official Notice that the USE of comparing membership was conventional and well known. Therefore, it would have been obvious to one having ordinary skill in the art at the time the invention was made to compare times of last changed when synchronizing content since Examiner takes Official Notice that it was conventional and well known.

***Conclusion***

10. Any inquiry concerning this communication or earlier communications from the examiner should be directed to David García Cervetti whose telephone number is

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(571)272-5861. The examiner can normally be reached on Monday-Tuesday and Thursday-Friday.

11. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Nasser Moazzami can be reached on (571)272-4195. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

12. Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/David García Cervetti/  
Primary Examiner, Art Unit 2436